

**TRANSMITTAL LETTER
(General - Patent Pending)**

Docket No.
11675.163.2

In Re Application Of: Terry N. Williams

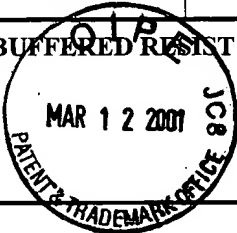
Serial No.
09/761,375

Filing Date
January 16, 2001

Examiner
Not Yet Assigned

Group Art Unit
Not Yet Assigned

Title: **BUFFERED RESIST PROFILE ETCH OF A FIELD EMISSION DEVICE STRUCTURE**



TO THE ASSISTANT COMMISSIONER FOR PATENTS:

Transmitted herewith is:

Transmittal Letter (1 pg. in dup);
Transmittal of Information Disclosure Statement (2 pgs.);
Information Disclosure Statement (2 pgs.);
Information Disclosure Citation (1 pg.); Copies of Cited References
Certificate of Express Mailing #EL569074443US; Postcard

in the above identified application.

- ☒ No additional fee is required.
- ☐ A check in the amount of _____ is attached.
- ☒ The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. **23-3178** as described below. A duplicate copy of this sheet is enclosed.
- ☐ Charge the amount of _____
- ☒ Credit any overpayment.
- ☒ Charge any additional fee required.

Signature

Dated: **March 12, 2001**

RECEIVED
MAR 15 2001
TC 2000 MAIL ROOM

Jesus Juanos i Timoneda, Ph. D.
Attorney for Applicant
Reg. No. 43,332



022901

PATENT TRADEMARK OFFICE

I certify that this document and fee is being deposited on _____ with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Signature of Person Mailing Correspondence

Typed or Printed Name of Person Mailing Correspondence

CC:

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.
11675.163.2

In Re Application Of: Terry N. Williams

Serial No.
09/761,375

Filing Date
January 16, 2001

Examiner
Not Yet Assigned

Group Art Unit
Not Yet Assigned

Title: **BUFFERED RESIST PROFILE ETCH OF A FIELD EMISSION DEVICE STRUCTURE**



Payment of Fee

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of _____ is attached.
- ☒ The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. **23-3178** as described below. A duplicate copy of this sheet is enclosed.
- ☐ Charge the amount of _____
- ☒ Credit any overpayment.
- ☒ Charge any additional fee required.

Certificate of Transmission by Facsimile*

I certify that this document and authorization to charge deposit account is being facsimile transmitted to the United States Patent and Trademark Office (Fax. No.

) on _____
(Date)

Signature

Typed or Printed Name of Person Signing Certificate

Certificate of Mailing by First Class Mail

I certify that this document and fee is being deposited on _____ with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Signature of Person Mailing Correspondence

Typed or Printed Name of Person Mailing Correspondence

***This certificate may only be used if paying by deposit account.**

Dated: March 12, 2001

Jesus Juanos i Timoneda, Ph. D.
Attorney for Applicant
Reg. No. 43,332

EL569074443US



022901

PATENT TRADEMARK OFFICE

CC:

RECEIVED
JUN 15 1961
FIC 2000 HALL - ROOM

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.
11675.163.2

In Re Application Of: Terry N. Williams

Serial No.
09/761,375

Filing Date
January 16, 2001

Examiner
Not Yet Assigned

Group Art Unit
Not Yet Assigned

Title: **BUFFERED RESIST PROFILE ETCH OF A FIELD EMISSION DEVICE STRUCTURE**



Address to:
Assistant Commissioner for Patents
Washington, D.C. 20231

37 CFR 1.97(b)

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application; within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or before the mailing date of a first Office Action on the merits, whichever event occurs last.

37 CFR 1.97(c)

2. ☐ The Information Disclosure Statement submitted herewith is being filed after three months of the filing of a national application, or the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or after the mailing date of a first Office Action on the merits, whichever occurred last but before the mailing date of either:

1. a Final Action under 37 CFR 1.113, or
2. a Notice of Allowance under 37 CFR 1.311,

whichever occurs first.

Also submitted herewith is:

- ☐ a certification as specified in 37 CFR 1.97(e);

OR

- ☐ the fee set forth in 37 CFR 1.17(p) for submission of an Information Disclosure Statement under 37 CFR 1.97(c).

RECEIVED
MAR 15 2001
TC 2000 MAIL ROOM

03-13-01

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)

Applicant(s): Terry N. Williams

Docket No. 4-78-9

11675.163.2

Serial No.

09/761,375

Filing Date

January 16, 2001

Examiner

Not Yet Assigned

Group Art Unit

Not Yet Assigned

Invention: **BUFFERED RESIST PROFILE ETCH OF A FIELD EMISSION DEVICE STRUCTURE**



I hereby certify that this Correspondence as listed below:
(Identify type of correspondence)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on March 12, 2001

(Date)



022901

PATENT TRADEMARK OFFICE

Tiffany L. Treadway

(Typed or Printed Name of Person Mailing Correspondence)

(Signature of Person Mailing Correspondence)

EL569074443US

("Express Mail" Mailing Label Number)

Note: Each paper must have its own certificate of mailing.

Transmittal Letter (1 pg. in dup); Transmittal of Information Disclosure Statement (2 pgs.); Information Disclosure Statement (2 pgs.); Information Disclosure Citation (1 pg.); Copies of Cited References; Postcard

RECEIVED
MAR 15 2001
MAIL ROOM



PATENT APPLICATION
Docket No: 11675.163.2

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of)
)
Terry N. Williams)
)
Serial No.: 09/761,375)
)
Filed: January 16, 2001)
)
For: BUFFERED RESIST PROFILE ETCH OF A)
FIELD EMISSION DEVICE STRUCTURE)

INFORMATION DISCLOSURE STATEMENT
UNDER 37 C.F.R. § 1.97

The Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

Please find, pursuant to 37 C.F.R. § 1.98(a)(1), the enclosed Form PTO-1449 which contains a list of all patents, publications, or other items that have come to the attention of one or more of the individuals designated in 37 C.F.R. § 1.56(c). While no representation is made that any of these references may be "prior art" within the meaning of that term under 35 U.S.C. §§ 102 or 103, the enclosed list of references is disclosed so as to fully comply with the duty of disclosure set forth in 37 C.F.R. § 1.56.

Moreover, while no representation is made that a specific search of office files or patent office records has been conducted or that no better art exists, the undersigned attorney of record believes that the enclosed art is the closest to the claimed invention (taken in its entirety) of which the undersigned is presently aware, and no art which is closer to the claimed invention (taken in its entirety) has been knowingly withheld.

RECEIVED
MAR 15 2001
TC 2610 PAT. ROOM

In accordance with 37 C.F.R. § 1.98(c), all English translations within the possession, custody, control or availability of anyone designated in 37 C.F.R. § 1.56(c) of each non-English reference, if any, are also enclosed.

Since all listed references are either in the English language or are accompanied by a translation into English, no concise explanation of relevance is required under 37 C.F.R. § 1.98(a)(3).

<u>U.S. Patent No.</u>	<u>Date</u>	<u>Name</u>	<u>Class</u>	<u>Sub Class</u>
5,653,619	8/1997	Cloud	445	24
5,913,704	6/1999	Spindt	445	24
5,993,281	11/1999	Musket	445	50
5,229,331	7/1993	Doan	437	228
5,965,898	10/1999	Jones	257	10

Please credit any over payment or charge any additional fees to Deposit Account No. 23-3178 of the undersigned.

Dated this 12th day of March 2001.



022901

PATENT TRADEMARK OFFICE

Respectfully submitted,

Jesús Juanós i Timoneda, Ph. D.
Attorney for Applicant
Registration No. 43,332

WORKMAN, NYDEGGER & SEELEY
1000 Eagle Gate Tower
60 East South Temple
Salt Lake City, Utah 84111
Telephone: (801) 533-9800
Facsimile: (801) 328-1707

RECEIVED
MAR 15 2001
TC 2600 MAIL ROOM